

**TRANSMITTAL LETTER TO THE  
UNITED STATES  
DESIGNATED/ELECTED OFFICE  
(DO/EO/US) CONCERNING A FILING  
UNDER 35 U.S.C. 371**

U.S. APPLICATION NO.  
(if known, sec 37 C.F.R.1.5)  
09/509,472

INTERNATIONAL APPLICATION NO.  
PCT/JP99/04124

INTERNATIONAL FILING DATE  
July 30, 1999

PRIORITY DATE CLAIMED  
July 31, 1998

TITLE OF INVENTION  
PHOTOMASK BLANK, PHOTOMASK, METHODS OF MANUFACTURING THE SAME AND METHOD OF FORMING  
MICROPATTERN

APPLICANT(S) FOR DO/EO/US  
Masaru MITSUI et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

**Items 11. to 16. below concern other document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.
- ☐ A SECOND or SUBSEQUENT preliminary amendment
14. ☐ A substitute specification.
15. ☐ A small entity statement.
16. ☐ Other items or information:

04/26/2000 PVOLPE 00000043 09509472

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130.00 OP

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5) 09/509,472	INTERNATIONAL APPLICATION NO. PCT/JP99/04124	ATTORNEY'S DOCKET NUMBER 105875
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17. <input checked="" type="checkbox"/> The following fees are submitted:  <b>Basic National f (37 CFR 1.492(a)(1)-(5)):</b>  Search Report has been prepared by the EPO or JPO.....\$840.00  International preliminary examination fee paid to USPTO (37 CFR 1.482).....\$670.00  No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)).....\$690.00  Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....\$970.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4).....\$ 96.00  <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>	<b>CALCULATIONS</b>	<b>PTO USE ONLY</b>																
Surcharge of \$130.00 for furnishing the oath or declaration later than <input checked="" type="checkbox"/> 20; <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).	\$130.00																	
<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width:20%;">Claims</th> <th style="width:20%;">Number Filed</th> <th style="width:20%;">Number Extra</th> <th style="width:20%;">Rate</th> </tr> <tr> <td>Total Claims</td> <td style="text-align: center;">- 20 =</td> <td></td> <td>X \$ 18.00</td> </tr> <tr> <td>Independent Claims</td> <td style="text-align: center;">- 3 =</td> <td></td> <td>X \$ 78.00</td> </tr> <tr> <td colspan="3">Multiple dependent claim(s)(if applicable)</td> <td>+ \$260.00</td> </tr> </table>	Claims	Number Filed	Number Extra	Rate	Total Claims	- 20 =		X \$ 18.00	Independent Claims	- 3 =		X \$ 78.00	Multiple dependent claim(s)(if applicable)			+ \$260.00		
Claims	Number Filed	Number Extra	Rate															
Total Claims	- 20 =		X \$ 18.00															
Independent Claims	- 3 =		X \$ 78.00															
Multiple dependent claim(s)(if applicable)			+ \$260.00															
<b>TOTAL OF ABOVE CALCULATIONS =</b>	\$130.00																	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).	\$																	
<b>SUBTOTAL =</b>	\$130.00																	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 month from the earliest claimed priority date (37 CFR 1.492(f)).	\$																	
<b>TOTAL NATIONAL FEE =</b>	\$130.00																	
	Amount to be refunded	\$																
	Charged	\$																

a. <input checked="" type="checkbox"/> Check No. <u>107967</u> in the amount of <u>\$130.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c: <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. <u>15-0461</u> . A duplicate copy of this sheet is enclosed.	<div style="text-align: center;"> <p>NAME: James A. Oliff REGISTRATION NUMBER: 27,075</p> </div> <div style="text-align: center; margin-top: 20px;"> <p>NAME: Joel S. Armstrong REGISTRATION NUMBER: 36,430</p> </div>
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NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:  
 OLIFF & BERRIDGE, PLC  
 P.O. Box 19928  
 Alexandria, Virginia 22320

JAO:JSA/kmc

**PATENT APPLICATION**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the Application of

Masaru MITSUI et al.

ATTN: Application Branch

Application No.: 09/509,472

Docket No.: 105875

Filed: April 21, 2000

For: PHOTOMASK BLANK, PHOTOMASK, METHODS OF MANUFACTURING THE  
SAME AND METHOD OF FORMING MICROPATTERN

**REQUEST FOR CORRECTED FILING RECEIPT**

Director of the U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

A corrected filing receipt is hereby requested in view of the errors which appear in the original. For the convenience of the Patent and Trademark Office, attached is a photocopy of the original receipt on which the errors have been noted in red.

☒ **PTO ERROR** - As the error was made by the Patent and Trademark Office, it is believed that no fee is due. However, please credit or debit Deposit Account No. 15-0461 as necessary to effect entry of the attached corrections.

☐ **APPLICANT'S ERROR** - In accordance with the provisions of 37 C.F.R. 1.19(h), our Check No. \_\_\_\_\_ in the amount of Twenty Five Dollars (\$25.00) is attached. Please credit or debit Deposit Account No. 15-0461 as necessary to effect entry of the attached corrections.

Respectfully submitted,



James A. Oliff  
Registration No. 27,075

Thomas J. Pardini  
Registration No. 30,411

JAO:TJP/kmc  
Date: June 19, 2000

**OLIFF & BERRIDGE, PLC**  
**P.O. Box 19928**  
**Alexandria, Virginia 22320**  
**Telephone: (703) 836-6400**

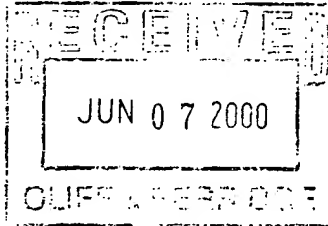
<p><b>DEPOSIT ACCOUNT USE AUTHORIZATION</b> Please grant any extension necessary for entry; Charge any fee due to our Deposit Account No. 15-0461</p>
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**FILING RECEIPT**

\*OC000000005154292\*

**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**Address: ASSISTANT SECRETARY AND  
COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/509,472	<del>05/19/2000</del> 04/21/2000	1756	1234	105875	9	26	5

OLIFF & BERRIDGE  
PO BOX 19928  
ALEXANDRIA, VA 22320

Date Mailed: 06/02/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**MASARU MITSUI, TOKYO, JAPAN;  
HARUHIKO YAMAGATA, TOKYO, JAPAN;  
MASAO USHIDA, TOKYO, JAPAN;**Continuing Data as Claimed by Applicant**

THIS APPLICATION IS A 371 OF PCT/JP99/04124 07/30/1999

**Foreign Applications**

JAPAN 10-217433 07/31/1998

If Required, Foreign Filing License Granted 06/02/2000

**Title**PHOTOMASK BLANK,PHOTOMASK,METHODS OF MANUFACTURING THE SAME, AND  
METHOD OF FORMING MICROPATTERN**Preliminary Class**

430

Data entry by : BARRETO, NGA

Team : OIPE

Date: 06/02/2000



**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Cod of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

**PTO RECEIPT FOR FILING OF PAPERS**

**The following papers have been filed:**

PCT Transmittal, #107967, (\$130), exec. Declaration; Assignment Transmittal, #107968, (\$40), exec. Assignment.

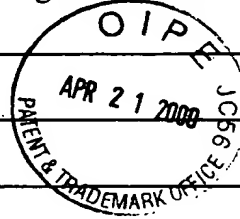
**Name of Applicant:** Masaru MITSUI et al.

**Serial No.:** 09/509,472

**Atty. File No.:** 105875

**Title (New Cases):** PHOTOMASK BLANK, PHOTOMASK, METHODS OF MANUFACTURING THE SAME AND METHOD OF FORMING MICROPATTERN

**Sender's Initials:** JAO:JSA/kmc



**PATENT OFFICE DATE STAMP**

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**COPY TO BE STAMPED BY PATENT OFFICE  
AND RETURNED BY MESSENGER**